

05/31/01



jc887 U.S. PTO

06-01-01

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Date of Deposit: May 31, 2001

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Name:

Signature:

James Porter  
James Porter  
Clifford Chance Rogers & Wells LLP

Docket No. 3499-82

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION TRANSMITTAL

COMMISSIONER OF PATENTS  
BOX PATENT APPLICATION  
Washington, D.C. 20231

jc903 U.S. PTO  
09/870811

05/31/01

Sir:

Transmitted herewith for filing is a utility patent application

Of: Andrew J.R. Smith et al.

For: METHOD AND SYSTEM FOR PROCESSING FINANCIAL DATA OBJECTS CARRIED ON  
BROADCAST DATA STREAMS AND DELIVERING INFORMATION TO SUBSCRIBING CLIENTS

ENCLOSED are the following:

1. ☒ Specification, abstract and claims ( 50 pages)
2. ☒ 10 sheets of ☒ formal ☐ informal drawings (Figs. 1-10)  
Suggested Figure for Publication: \_\_\_\_\_
3. ☒ Declaration  
☐ signed ☒ unsigned  
☐ Copy from a prior application (for continuation/divisional)
4. ☐ Application Data Sheet
5. ☐ Preliminary Amendment
6. ☐ Information Disclosure Statement and PTO-1449
7. ☐ Assignment and Assignment Recordation sheet (*Fee calculated separately*)
8. ☐ The prior application is assigned to: \_\_\_\_\_  
The assignment was recorded on \_\_\_\_\_ at reel \_\_\_\_\_ and frame \_\_\_\_\_.  
☐ A copy of the assignment from the prior application is enclosed.
9. ☒ Non-Publication Request
10. ☐ Other:

NOTE the following:

11. ☐ This application is made under 37 C.F.R. § 1.53 (b) and is a

06/05/2001 HDNEMESS1 00000004 500521 09870811  
Sale Ref: 00000007 DAN: 500521 09870811  
01 FC:101 710.00 CH  
02 FC:103 468.00 CH

☐ Continuation ☐ Continuation-In-Part ☐ Divisional  
of Prior Application No. \_\_\_\_\_ filed \_\_\_\_\_

12. ☐ An Extension of time is filed concurrently herewith for the parent application.

13. Small Entity Status:

- ☐ Applicant is a small entity  
☐ Small entity status claimed in the parent application is no longer proper

14. ☐ Applicants claim priority from the following applications(s) under 35 U.S.C. § 119:

<u>Serial Number</u>	<u>Country</u>	<u>Filing Date</u>	<u>Certified Copy Encl.</u>
60/223,397	United States	August 4, 2000	
60/227,162	United States	August 22, 2000	

15. ☐ Cancel claims \_\_\_\_\_ prior to calculation of the filing fee.

**FILING FEE:** calculated below (after accounting for any preliminary amendment or claims cancellations if noted above):

Basic Filing Fee			\$710.00
Total No. Claims 46	Extra Claims(Total-20) 26	Fee / claim \$18.00	\$468.00
Total No. Independent Claims 3	Extra Independ.(No.-3) 0	Fee / claim \$80.00	\$0.00
Multiple dependent claim? + \$280			\$0
<b>Sub-Total</b>			\$1,178.00
Small Entity? less 50%			-0.00
<b>TOTAL FEE DUE</b>			\$1,178.00

16. ☐ A check in the amount of \_\_\_\_\_ is enclosed (must at least cover the basic fee).  
☒ The Commissioner is authorized to charge \$1,178.00 in connection with this communication to Deposit Account No. 50-0521.

In the event that a petition for extension of time is required to be submitted in the pending prior application, and in the event that a separate petition for the pending prior application is not filed on even date, applicant hereby petitions under 37 C.F.R.1.136(a) for an extension of time in the pending prior application of as many months as are required to render this submission timely. The Commissioner is authorized to charge any fees due in connection with such a petition to Deposit Account No. 50-0521.

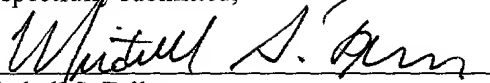
The Commissioner is authorized to charge any fee or additional fee due in connection with this communication to Deposit Account No. 50-0521.

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A duplicate copy of this sheet is enclosed.

Date: May 31, 2001

Respectfully submitted,

  
\_\_\_\_\_  
Mitchell S. Feller

Reg. No. 42,530

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